

OTPA  
JUN 13 2001  
PATENT & TRADEMARK OFFICE

**CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTAL**

Submit an original, and a duplicate for fee processing.  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

RECEIVED  
JUN 19 2001  
CHECK BOX, if applicable:  
TECH CENTER 1600/2000

Address to:  <b>Assistant Commissioner for Patents Box CPA Washington, DC 20231</b>	Attorney Docket No. of Prior Application	2844/53802 (104914-127)
	First Named Inventor	Leiden
	Examiner Name	Drabik, C.
	Group Art Unit	1633
	Express Mail Label No.	---

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d),  
(continued prosecution application (CPA)) of prior application number 09 / 473,830  
filed on 99-Dec-28, entitled **EFFICIENT AND STABLE IN VIVO GENE TRANSFER TO  
CARDIOMYOCYTES USING RECOMBINANT ADENO-ASSOCIATED  
VIRUS VECTORS**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- ☐ Enter the unentered amendment previously filed on \_\_\_\_\_ under 37 CFR 1.116 in the prior nonprovisional application.
- ☒ A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
  - ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:  
.....
  - ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed:
  - ☐ PTO-1449
  - ☐ Copies of IDS Citations

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box CPA, Washington, DC 20231.

06/18/2001 AZERGRW1 00000093 080219 09473830

710.00 CH  
126.00 CH  
270.00 CH

02 FC:131  
03 FC:103  
04 FC:104

EXPRESS MAIL LABEL NO. EL 703685082 US

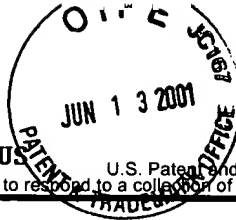
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Approved for use through 10/1/2002 OMB 0551-0032 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

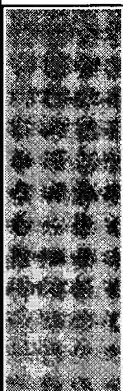


RECEIVED

PTO/SB/29 (10-00)

JUN 13 2001



TECH CENTER 1600/2900

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	27	-20* = 7	x \$ 18 =	\$ 126
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	1	-3** = 0	x \$ 80 =	0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ \$ 270 =	270
				BASIC FEE (37 CFR 1.16)	710
				Total of above Calculations =	\$ 1,106
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				--
* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent.				TOTAL =	\$ 1,106

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 08 - 0219:
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☐ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.
8. ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of \_\_\_\_\_ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. ☒ New Attorney Docket Number, if desired 104914-127  
[Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]
12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)
- b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☐ Other: \_\_\_\_\_

**NOTE:**

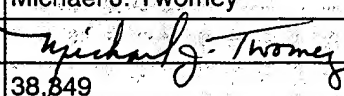
The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

**14. NEW CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☐ New correspondence address below

(Insert Customer No. or Attach bar code label here)

Name					
Address					
City		State		Zip Code	
Country		Telephone		Fax	

**15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Name (Print /Type)	Michael J. Twomey
Signature	
Registration No. (Attorney/Agent)	38,849
Date	June 13, 2001

Attorney Docket Number 2844-5980-2 (NO. 4911607) per

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Leiden *et al.*

Art Unit: 1633

Serial No.: 09/473,830

Examiner: Drabik, C.

Filing Date: December 28, 1999

**Title: Efficient and Stable In Vivo Gene Transfer to Cardiomyocytes Using Recombinant Adeno-Associated Virus Vectors**

Commissioner for Patents  
Washington, DC 20231

**CERTIFICATION UNDER 37 CFR § 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail under Express Mail Label No. **EL 703685082 US** in an envelope addressed to Commissioner for Patents, Washington, DC 20231.

6/13/01

**Date of Signature and  
of Mail Deposit**

Andrea Buzza

Andrea Ruzzo-Guerra

## PRELIMINARY AMENDMENT

Dear Commissioner:

Please enter the following Preliminary Amendment in the Continued Prosecution Application submitted herewith in connection with the above-identified application. A Petition for a one-month Extension of Time for Response to the Office Action, mailed February 13, 2001, in connection with the above-identified application is also submitted herewith.